

CHINESE HISTORY

A Bibliographic Review

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SERVICE CENTER FOR TEACHERS OF HISTORY

A Service of the American Historical Association

400 A Street, S.E.

Washington 3, D.C.

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Library of Congress Catalog Card No. 58-59931

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By Charles O. Hucker

INTRODUCTION

This pamphlet is an attempt to acquaint secondary-school teachers of history with a wide range of materials that are now available for the study of Chinese history.

Time was, and not long ago, when American historians paid almost no attention to China, despite its being a major world civilization with a longer continuous existence than any other. This state of affairs has changed within the past two decades to such an extent that today the study of China is one of the more thriving and productive branches of American historical scholarship. Its importance is now being recognized in undergraduate teaching throughout the country, and the secondary school seems destined to feel its influence increasingly during the coming years.

For the moment, however, Chinese history remains a terra incognita for the overwhelming majority of secondary school teachers. This pamphlet therefore departs in some measure from the pattern of previous contributions to this series, which were designed primarily to acquaint teachers with new interpretations in long-established fields of historical research and teaching. Such an approach to the little known subject of Chinese history would probably be more confusing than helpful. Instead, this pamphlet aims at a broader, more introductory survey of materials that contribute to a general understanding of the field. Trends in interpretation are given only secondary attention.

The present state of scholarship, as a matter of fact, almost dictates such an approach; for the field is characterized more by basic "factual" research than by sweeping interpretative writing. This is largely due to the recency of the assault on Chinese history by the American and European academic communities. Confronted with a vast and virgin field of investigation, many scholars have naturally been inclined to concentrate on particularities rather than generalities, in the hope of creating a sound factual

foundation that might subsequently support interpretative super-structures.

There are those who believe that this is the only proper attitude for the present generation of Sinologists, as China specialists are called. They want the basic raw materials of Chinese history to be presented objectively, as untainted by interpretation as possible. They go in largely for translation work, for meticulous textual criticism, for fact-seeking excursions down every byway. At the extreme, they consider all the data of Chinese history to be of equal value. They seem to foresee a future in which all the possible facts of Chinese history will have been neatly established, defined, and classified, to await incorporation into some grand interpretative edifice of as yet unforeseeable outlines. Meantime they shun interpretation themselves and brandish their facts like battleaxes in the face of every unwary interpreter who happens along.

Something of this spirit persists in every Sinologist. It feeds on the vastness of the reservoir of Chinese historical documents. Not only is Chinese history longer than any other; it is more abundantly documented for almost every period. Moreover, the intrinsic difficulties of the language make use of the documents a very slow process. In order to master the documents, to exhaust the sources, one must therefore restrain his inquiries within very narrow margins. And he is inevitably suspicious of "theorizings" that are not based upon equally exhaustive documentation.

Most of the important scholarly work being done in the Chinese studies field, consequently, is of the monographic type. It is marked by a profound respect for and a close clinging to the original sources. It will undoubtedly be some time before Sinologists will be able confidently to divert their attention from the individual trees, so to speak, to the immense and still mist-shrouded forest.

A generation ago this concern for detail manifested itself in the prodigious production of translations, and today translations continue to be important contributions to the field. But the age of translation seems clearly to be giving way to an age of analysis. With a marked increase in the number of scholars who deal competently with Chinese materials, the need for translations has lessened

and the prestige of translation work has declined. The current trend is toward studies of special subjects and special problems, perhaps including translations of some pertinent sources but no longer determined in scope and presentation by the nature of the sources. Many such studies are predominantly descriptive in approach, aiming at an effective, orderly presentation of information abstracted from a more or less broad range of original sources. Others, in increasing numbers, aim at analysis rather than simple exposition. There is thus an increasing inclination toward interpretation. But the fields in which interpretation is applied are still very restricted ones. Sweeping generalizations remain anathema.

Another significant trend in the Chinese studies field during the past decade or two is a growing indifference to political history and especially to diplomatic history. Not long ago Chinese history as presented to Western readers was little more than a record of Western activities in China. China was only a rather quaint backdrop against which Marco Polo, Chinese Gordon, missionaries, American marines, and sundry other adventurers performed pluckily. This state of affairs has changed. Although China's international relations are by no means neglected now in historical scholarship, they are no longer the main focus of scholarly attention. The main emphasis now is on China itself, studied for its own sake rather than as merely one aspect of the history of European and American expansion.

The history of China's domestic politics, however, does not attract much interest among Sinologists. It is an inexhaustible and on the whole a dull tale of court intrigues, the foibles of emperors, battles against invaders, and suppressions of rebels. It is burdened with thousands of insignificant names and trifling events, which have almost no general interest for Western readers. Moreover, Chinese chroniclers have themselves kept so careful a record of political events—the facts are so well established in Chinese compendiums—that this subject offers few challenges to modern scholarship. As a result, Sinologists have not even aroused themselves to produce elementary surveys of political history of kinds that would be welcome additions to the Western literature.

Chinese cultural history has always appealed more strongly to

Western students, and the fields of art history, literary history, and the history of philosophy continue to be cultivated. But in recent years interest has turned increasingly toward sociological problems, in line with trends in other areas of historical inquiry. The most thriving subject fields today are social and economic history, institutional history, and intellectual history. At times one wonders whether Chinese studies are not being entirely "sociologized," so strong is this tendency.

Whether sociologized or not, the field has certainly become highly professionalized. Only a generation ago it was dominated by missionaries and other "old China hands," but the critical-minded academician has long since wrested predominance from them. His work, generally speaking, rests on a far more thorough command of scholarly techniques and particularly on a far sounder preparation in the Chinese written language. Influential publications about China are no longer two or three stages removed from original sources, as they once were. Exhaustive reliance on basic Chinese materials is now a commonplace in the literature, and the standards of competence get steadily higher.

Another trend, a related one, is for Western scholars in this field to make respectful use of work done by modern historians in both China and Japan. Until recently Sinologists habitually concentrated on early source materials and contemptuously ignored the research being done by their Chinese and Japanese counterparts. Some still feel that knowledge of French and German is more important to their work than knowledge of Japanese. This neglect of the voluminous scholarly work that has been produced in China and Japan since the 1930's, especially, has been justified on the ground that much of it is tradition-bound and uncritical. But recent trends suggest that this attitude no longer prevails, thanks in some part to the growing number of Chinese and Japanese scholars who have had graduate training in the West. It is increasingly expected, consequently, that scholars in the Chinese studies field will not only have complete command of their original Chinese source materials but will be thoroughly familiar with relevant secondary studies in English, French, German, Chinese, and Japanese. And in some aspects of the study of modern Chinese history a knowledge of Russian is fast becoming a pre-

requisite, because of a significant increase of scholarly Russian interest in China.

These are some of the notable general characteristics of Sino-logical scholarship today. Most of the materials that are dwelt upon in the following survey are products of these new trends. Of older contributions, only standard references that have not yet been superseded are included.

The survey is necessarily far from complete, but I believe it reflects with reasonable accuracy the present state of scholarship in this field; and it introduces almost all of the works that I for one have found notably helpful in trying to understand and teach Chinese history. Research on the modern period is represented most inadequately, on the grounds that this period is best known to Western readers and is well covered in secondary materials.

MAIN OUTLINES OF CHINESE HISTORY

Chinese civilization emerged from prehistory during the second millenium before Christ in the form of a monarchical state called Shang, dominating north central China's Yellow River plain. In the twelfth century B.C. the Shang domain was seized and expanded by related, neighboring peoples on the west called Chou. Under a long Chou regime Chinese sedentary culture spread southward into the Yangtze River valley, but at the cost of a feudal-like decentralization which eventually brought on a chaotic condition of multi-state competition. This political chaos, which stimulated the formation of great philosophical traditions, was resolved when one state, the Ch'in (from which the name China derives), conquered all the others in 221 B.C. and imposed on the whole Chinese world a non-feudal, bureaucratic, highly centralized governmental system.

Though short-lived itself, the Ch'in regime handed on its imperial form of state organization to its successors, who took the dynastic name Han. Contemporaneous with the Roman empire in the Mediterranean world, the Han empire spread Chinese culture throughout the extent of present-day China and established Chinese influence in Indo-China, Central Asia, and Korea. The Chinese still proudly call themselves "men of Han" after this

early empire, which dominated East Asia from the third century B.C. into the third century of the Christian era.

Then the Han empire collapsed under a multitude of pressures, and from A.D. 220 until 589 China passed through a "dark age" of political disunion and cultural upheaval. Buddhism, introduced from India, became a prominent aspect of Chinese life, and north China was overrun by Hunnish and other non-Chinese predators from beyond the northern frontier.

Late in the sixth century the whole of China was again consolidated, this time by a northern state called Sui. Like the earlier Ch'in, the Sui regime quickly gave way to a more stable and long-lasting one, the T'ang. From 618 to 907 the T'ang empire dominated East Asia as the Han had done earlier, and Chinese culture flourished as never before or since. But the empire was consistently threatened by Turkic nomads on the north, and China again eventually passed into a period of disunion and disruption. While a succession of "barbarian" regimes encroached on north China, the Han-T'ang tradition was perpetuated in the south under a dynasty called Sung; but this too finally succumbed to invaders.

The succession of non-Chinese invaders from the north culminated with the Mongols. In 1279, after having ranged far into the Middle East and Europe, the Mongols exterminated Sung in south China and for the first time subjected all China to non-Chinese control, adopting the Chinese dynastic name Yüan. Under the Pax Tatarica that overspread the Euroasiatic heartland in Kubilai Khan's time, China had its first direct contact with the modern European peoples.

In 1368, before a century had passed, nationalistic rebels drove the Mongols out of China and installed a new native dynasty, the Ming, which reasserted Chinese dominance in East Asia in the Han-T'ang pattern. But in 1644 the Ming regime in its turn gave way to "barbarians" from the north. These were the Manchus, the most thoroughly sinicized of the northern invaders. Their Chinese-style Ch'ing dynasty ruled China until 1912. Then nationalistic revolutionaries overthrew it and, with it, the whole imperial system that had characterized China since the third century before Christ.

The nineteenth century had been a very troubled transition

period. Long-accumulated domestic discontents had erupted into a series of rebellions, chief of which was a pseudo-Christian Taiping Rebellion that devastated central China from 1850 to 1865. Also, the modern European powers, driven by the pressures of the commercial and then the industrial revolutions, had begun to challenge China's East Asian supremacy and, more than that, its very existence.

The republican era that began in 1912 witnessed Chinese attempts at Western-style democratization and modernization. The effort was hampered by the unyielding vigor of traditional mores, by harassments and aggressions on the part of newly-Westernized Japan, and finally by the rise of a Chinese Communist movement. In 1949 the nationalist republic succumbed on the mainland, giving way to a new Communist phase of Chinese history.

This, in bare outline, is the general history of China. It abounds in major and minor themes, of which at least two deserve attention here. One theme concerns China's historic relations with its neighbors, and especially the alternating successes and failures that marked China's defense of its sedentary civilization against nomadic predators. Another theme concerns what is called the dynastic cycle: the rise, flourishing, and decay of ruling houses in an almost endless succession.

The great orchestration of multiple themes that is Chinese history poses many difficulties for the general historian, and periodization is one of the worst. The Chinese themselves have traditionally dealt with their history in a narrow dynasty-by-dynasty approach, and twenty-five official dynastic histories are the principal masterworks of Chinese historiography. But modern scholars have sought more meaningful schemes of dividing Chinese history into periods. One common approach is the following:

- I. The Formative Age
 - Shang (1766?-1122 B.C.?)
 - Chou (1122?-256 B.C.)
- II. The First Imperial Era
 - Ch'in (221-207 B.C.)
 - Former Han (202 B.C.-A.D. 9)
 - Latter Han (25-220)
- III. The Age of Disruption and Division

- The Three Kingdoms (220–280)
- Chin (265–420)
- Northern and Southern Dynasties (304–589)
- IV. The Golden Age of Empire
 - Sui (581–618)
 - T'ang (618–907)
 - The Five Dynasties (907–960)
 - Northern Sung (960–1126)
 - Southern Sung (1126–1279)
- V. The Age of Invasions
 - Liao (907–1125)
 - Chin (1125–1234)
 - Yüan (1260–1368)
- VI. The Indian Summer of the Empire
 - Ming (1368–1644)
 - Ch'ing (1644–1912)
- VII. Modern China: Age of Transition
 - The Nineteenth Century
 - The Nationalist Phase (1912–1949)
 - The Communist Phase (1949–)

Every general historian faces the problem of meaningful periodization, but there has been surprisingly little theorizing about it. One major theory has been advanced by the Japanese scholar Naitō Torajirō. It is described by Miyakawa Hisayuki in "An Outline of the Naitō Hypothesis and its Effects on Japanese Studies of China" (*Far Eastern Quarterly*, XIV [1954–55], 533–552). Naitō suggests that a distinctive qualitative change in Chinese life—comparable in importance to the European changes introduced by the Renaissance—came about between the T'ang and Sung periods, ending a "medieval" period of aristocratic dominance and inaugurating a "modern" period characterized by autocratic despotism and by the growth of freedom and opportunities for commoners. This scheme of periodization has not been generally adopted in the West, nor has the doctrinaire Communist view that a stagnant Chinese feudalism persisted into the twentieth century. There is, in fact, no single predominant theoretical scheme of periodization.

GENERAL WORKS

General Histories

My introductory remarks will already have suggested that no detailed and authoritative general history of China has yet appeared in a Western language. The only approximation is Otto Franke's *Geschichte des chinesischen Reiches* (5 vols.; Berlin, 1930-52). Left incomplete at the author's death in 1946, it covers Chinese history only up to A.D. 1280 and is already largely outdated. Of general histories in English, K. S. Latourette's *The Chinese, Their History and Culture* (3rd ed. rev.; New York: Macmillan, 1946) is the most comprehensive and the most widely used. It is a conscientious effort, in a sober prose style, to consolidate all the information available in Western languages, and extensive bibliographical appendices add substantially to its value. It badly needs a fourth revision, however.

Less comprehensive but more readable general histories include L. Carrington Goodrich's *A Short History of the Chinese People* (rev. ed.; New York: Harpers, 1951), well balanced though brief and especially strong on material culture. C. P. Fitzgerald's *China: A Short Cultural History* (rev. ed.; London: Cresset Press, 1950), highly selective, gives special attention to thought, art, and literature. René Grousset's *The Rise and Splendour of the Chinese Empire* (trans. A. Watson-Gandy and T. Gordon; Berkeley: University of California Press, 1953) is even more episodic in coverage but is perhaps more successful in conveying the flavor of China's cultural glories.

A standard interpretative survey of China's historic relations with its nomadic neighbors to the north has been provided by Owen Lattimore in *The Inner Asian Frontiers of China* (2d ed.; New York: American Geographical Society, 1951). H. J. Wiens, in *China's March Toward the Tropics* (Hamden, Conn.: Shoe String Press, 1954), explores a comparable historic theme: relentless Chinese expansion southward out of the Yellow River valley, which brought about the absorption or displacement of the non-Chinese aboriginal inhabitants of south and west China. Of China's historic relations with other near neighbors, the only monographic

study of a broad time coverage that is available is P. C. Bagchi's *India and China: A Thousand Years of Cultural Relations* (2d ed. rev.; New York: Philosophical Library, 1951).

G. F. Hudson in *Europe and China: A Survey of Their Relations from the Earliest Times to 1800* (London: John Murray, 1930) gives a concise, well balanced, and very readable account of this aspect of Chinese history. The same ground has been covered more analytically by Joseph Needham in the first volume of a projected seven-volume work, *Science and Civilization in China* (Cambridge: University Press, 1954). Needham's account is particularly noteworthy because it emphasizes the passage of scientific ideas and techniques from China to Europe, principally through Arab intermediaries.

Descriptive Works and Topical Histories

The most influential nineteenth-century writings on China were vast compendious descriptions of Chinese life in its totality by long-time foreign residents, such as S. Wells Williams' *The Middle Kingdom: A Survey of the Geography, Government, Literature, Social Life, Arts, and History of the Chinese Empire and its Inhabitants* (rev. ed., 2 vols.; New York: Scribners, 1883). Compendiums of this ambitious type, and the leisurely travel accounts on which they were largely based, are no longer being written. Latourette's *The Chinese, Their History and Culture* is something of a modern substitute; its second half consists of topical essays on special aspects of China's traditional civilization. Another useful general reference is a collection of thirty-four topical essays by different modern authorities edited by H. F. MacNair under the title *China* (Berkeley: University of California Press, 1946).

The physical environment in which Chinese civilization has evolved is authoritatively described by George B. Cressey in *Land of the 500 Million: A Geography of China* (New York: McGraw-Hill, 1955). F. H. King's *Farmers of Forty Centuries, or Permanent Agriculture in China, Korea and Japan* (reissue; Emmaus, Penn.: Organic Gardening Press, 1948) remains a standard description of the agrarian foundations of Chinese life. Pearl S. Buck's famous novel *The Good Earth* (New York: John Day, 1931; repeatedly reissued) is probably as good an introduction as any to peasant

activities and attitudes, and Lin Yutang's *My Country and My People* (New York: Reynal and Hitchcock, 1935) is a generally reliable, but idealized, presentation of the traditional intellectual and aesthetic values of China's upper classes.

There is as yet no detailed and authoritative history of Chinese government, despite the fact that China's traditional governmental achievements have been ranked among its greatest contributions to world history. Brief surveys are available in Ch'ien Tuan-sheng's *The Government and Politics of China* (Cambridge, Mass.: Harvard University Press, 1950) and in *Far Eastern Governments and Politics: China and Japan* by P. M. A. Linebarger, Djang Chu, and Ardath Burks (2d ed.; Princeton: Van Nostrand, 1956). A very general survey of Chinese legal development is Jean Escarra's *Le Droit Chinois* (Peking, 1936). R. H. van Gulik's *T'ang-yin-pi-shih: Parallel Cases from under the Peartree* (Leiden: E. J. Brill, 1956), the translation of a medieval casebook, represents typical traditional attitudes toward law and justice.

China's tradition-bound social organization has been the subject of much scholarly attention within the past generation. There are now good analytical studies of the family system, which is considered by most scholars the source of China's greatest strength as a civilization. One of the most general of these, covering both traditional and modern China, is Olga Lang's *Chinese Family and Society* (New Haven: Yale University Press, 1946), based on extensive field work in 1935-37. Wider glimpses of the network of human relations that binds the Chinese together in a unique cohesiveness are provided in a number of community studies representing different areas and different types of villages and towns: Martin C. Yang's *A Chinese Village* (New York: Columbia University Press, 1945), Morton H. Fried's *Fabric of Chinese Society: A Study of the Social Life of a Chinese County Seat* (New York: Praeger, 1953), Francis L. K. Hsü's *Under the Ancestors' Shadow: Chinese Culture and Personality* (New York: Columbia University Press, 1948), and Fei Hsiao-tung's *Peasant Life in China: A Field Study of Country Life in the Yangtze Valley* (New York: Oxford University Press, 1946) among others.

Francis Hsü, in *Americans and Chinese: Two Ways of Life* (New York: Henry Schuman, 1953), has made an ambitious attempt to

generalize about the traditional social psychology of the Chinese. His contrasts between Chinese social co-operativeness and American social competitiveness are necessarily highly theoretical and open to specific criticisms, but his basic understanding of fundamental Chinese attitudes toward gods and men has not been challenged.

The field of Chinese social history is now dominated by an interpretation known as the "gentry concept," which recognizes the age-old social leadership in China of an elite literate group that monopolized the imperial bureaucracy. There is some confusion about the definition of China's gentry; the relationship between large land ownership and bureaucratic status, especially, is a subject of some controversy. But there seems to be general agreement that an upper class which derived prestige and privileges from office-holding, whether or not it should be defined strictly as a landlord class, was the principal social force that gave stability and continuity to traditional China. A general theoretical description of traditional social structure in these terms is provided by Ch'ü T'ung-tsu in "Chinese Class Structure and its Ideology" (*Chinese Thought and Institutions* [ed. J. K. Fairbank; Chicago: University of Chicago Press, 1957], pp. 235-250). A provocative interpretation of modern Chinese developments in the same terms has been made by Fei Hsiao-tung in *China's Gentry: Essays in Rural-Urban Relations* (ed. Margaret Park Redfield; Chicago: University of Chicago Press, 1953).

The traditional Chinese ideal was that the attainment of bureaucratic status through civil service examinations was in no way dependent upon wealth. The degree to which this ideal was realized—or the extent of social mobility in traditional times—has been a related focus of scholarly attention. E. A. Kracke, Jr., in "Region, Family, and Individual in the Chinese Examination System" (*Chinese Thought and Institutions*, ed. J. K. Fairbank; pp. 251-268), reports on statistical analyses which, on the whole, indicate a high mobility. Researches reported by Chang Chung-li in *The Chinese Gentry: Studies on Their Role in Nineteenth-Century Chinese Society* (Seattle: University of Washington Press, 1955) seem to support this contention and also suggest, with many qualifications, that gentry wealth derived chiefly from bureau-

cratic status, not from land ownership. Chang defines the gentry as a social class of examination graduates, but the general practice is to consider the gentry an economic as well as a social class.

A full-scale interpretation of Chinese history from a sociological point of view is provided in Wolfram Eberhard's *History of China* (trans. E. W. Dickes; Berkeley: University of California Press, 1950). Eberhard sees Chinese history primarily as a one-sided class struggle in which an agrarian-minded gentry class, by keeping control of the imperial government, consistently repressed bourgeois middle classes and prevented commercial and industrial revolutions of the kind that transformed modern Europe. Eberhard's work abounds in provocative insights, but his interpretations have not been generally accepted by Sinologists.

The most boldly revisionary interpretation of Chinese history in modern times, also sociological in approach, has been developed by Karl A. Wittfogel. He classifies traditional China as a "hydraulic" society, one of many societies in which the need for large-scale water controls led to the development of bureaucratic, centralized, totalitarian despotisms, which denied any significant political freedoms to their subjects and frustrated any basic changes in socio-economic organization. Wittfogel's thesis is stated most succinctly in his article "Chinese Society: An Historical Survey" (*Journal of Asian Studies*, XVI [1956-57], 343-364) and explored most fully in his book *Oriental Despotism: A Comparative Study of Total Power* (New Haven: Yale University Press, 1957). The thesis is exercising a measurable influence in the field of Chinese studies but has been criticized, perhaps most thoroughly by S. N. Eisenstadt in "The Study of Oriental Despotisms as Systems of Total Power" (*Journal of Asian Studies*, XVII [1957-58], 435-446). It is yet too early to tell what lasting influence it will have in the field.

A useful contribution to the study of Chinese social and economic history in general has been made by E-tu Zen Sun and John De Francis in *Chinese Social History* (Washington: American Council of Learned Societies, 1956), translations of twenty-five articles by modern Chinese scholars on various aspects of the socio-economic tradition, ranging from the Chou to the Ch'ing dynasty.

E. Stuart Kirby's *Introduction to the Economic History of China* (London: Allen and Unwin, 1954) is not quite what its title suggests. It is essentially a bibliographic survey of what is being done in the socio-economic field, with criticisms on a theoretical plane. Its primary value, perhaps, lies in its abundant references to modern Japanese scholarship.

Chi Ch'ao-ting, in *Key Economic Areas in Chinese History, as Revealed in the Development of Public Works for Water-Control* (London: Allen and Unwin, 1936), reviews the history of China's extensive canal and dike construction work and traces the historic shifts from north to south of China's centers of agrarian development.

Yang Lien-sheng has provided a general history of China's monetary experiments and banking techniques in *Money and Credit in China: A Short History* (Cambridge, Mass.: Harvard University Press, 1952).

General Works in the Cultural Field

A standard reference on the nature of the Chinese language is Bernhard Karlgren's *The Chinese Language* (New York: Ronald Press, 1949). Y. R. Chao, in *Mandarin Primer* (Cambridge, Mass.: Harvard University Press, 1957), provides a more technical linguistic description. The simplest and clearest demonstration of how the Chinese write in non-alphabetic characters is a pamphlet by H. G. Creel, *Chinese Writing* (Washington: American Council on Education, 1943).

Lewis Hodous' *Folkways in China* (London: Arthur Probsthain, 1929) is a general introduction to folk religion. This aspect of Chinese life is more thoroughly described, with profuse illustrations, by Henri Doré in *Researches into Chinese Superstitions* (trans. M. Kennelly and others, 13 vols.; Shanghai, 1914-38).

Fung Yu-lan's monumental *History of Chinese Philosophy* (trans. Derk Bodde, 2 vols.; Princeton: Princeton University Press, 1952-53) has become the standard work in its field. Of less detailed surveys, Fung's *Short History of Chinese Philosophy* (New York, Macmillan, 1948), which is more than an abstract of his longer work, is the most comprehensive; and H. G. Creel's *Chinese Thought from Confucius to Mao Tse-tung* (Chicago: University of Chicago Press, 1953), more selective in coverage, is probably

the most readable and interpretative. Lin Mousheng, in *Men and Ideas: An Informal History of Chinese Political Thought* (New York: John Day, 1942), briefly and colorfully surveys the careers and ideas of fifteen influential thinkers and statesmen who shaped China's distinguished political tradition. John K. Shryock's *The Origin and Development of the State Cult of Confucius* (New York: Century, 1932) is the only substantial general study of the traditional state religion.

Useful bibliographical references on China's intellectual history are two recent articles by W. T. Chan, "A Bibliography of Chinese Philosophy" and "Chinese Philosophy: A Bibliographical Essay (*Philosophy East and West*, III [1953-54], 241-256 and 337-357, respectively).

The only general history of Chinese literature available in English is Herbert A. Giles' *A History of Chinese Literature* (New York: Appleton, 1923; paper-bound reprint New York: Grove Press, 1958). Originally published in 1901 and not revised since, this book is badly outdated. It is only partly superseded, however, by J. R. Hightower's *Topics in Chinese Literature: Outlines and Bibliographies* (rev. ed.; Cambridge, Mass.: Harvard University Press, 1953), which, though up to date and thoroughly reliable, is brief and rather technical. Other works of general reference usefulness in this field are two compilations by Martha Davidson, *A List of Published Translations from Chinese into English, French and German: Literature, Exclusive of Poetry* (Washington: American Council of Learned Societies, 1952) and *A List of Published Translations from Chinese into English, French and German: Poetry* (Washington: American Council of Learned Societies, 1957).

Perhaps the most popular general anthology of Chinese poetry in translation is Arthur Waley's *Translations from the Chinese* (New York: Knopf, 1941), a consolidation of several earlier books by undoubtedly the most deft and distinguished modern translator of Chinese and Japanese literature. A more representative anthology, including interpretative introductory essays on every major poet, is Robert Payne's *The White Pony* (New York: John Day, 1947). The translations included are primarily the work of modern Chinese interpreters, done in collaboration with Payne.

Another renowned aspect of China's cultural tradition is analyti-

cally interpreted by C. S. Gardner in *Chinese Traditional Historiography* (Cambridge, Mass.: Harvard University Press, 1938).

The history of Chinese art, which has unquestionably attracted more specialized scholarly attention than any other single field of Chinese studies, is admirably surveyed, with abundant illustrations, by Laurence Sickman and Alexander Soper in *The Art and Architecture of China* (Baltimore: Penguin Books, 1956). In this impressive volume Sickman deals with painting and sculpture, Soper with architecture. Both contributors are recognized authorities. Other widely used short surveys are Hugo Munsterberg's *Short History of Chinese Art* (New York: Philosophical Library, 1949) and Dagny Carter's *Four Thousand Years of Chinese Art* (New York: Ronald Press, 1948). Arthur Waley's *An Introduction to the Study of Chinese Painting* (reissue of the original 1923 ed.; New York: Grove Press, 1958) is another standard reference. Intriguing insights into traditional Chinese aesthetics are provided in Kuo Hsi's *An Essay on Landscape Painting* (trans. S. Sakanishi; London: John Murray, 1935), S. Sakanishi's *The Spirit of the Brush, Being the Outlook of Chinese Painters on Nature from Eastern China to Five Dynasties* (London: John Murray, 1939), and W. R. B. Akker's *Some T'ang and Pre-T'ang Texts on Chinese Painting* (Leiden: E. J. Brill, 1954).

In the period-by-period survey of Sinological literature that concludes this pamphlet, no attempt is made to deal with more specialized works in the highly technical field of Chinese art history; but all other fields of Chinese historical study are represented.

THE FORMATIVE AGE

Knowledge of China's very ancient past has been revolutionized during our time, thanks to archaeological work begun in the 1920's. Whereas even the Shang dynasty had previously been considered a heroic myth, we now know that Chinese-like peoples have occupied China since millenia before that. The record now begins with the hominid Peking Man, who lived in north China caves perhaps half a million years ago. The record includes several different but related late neolithic cultures: a painted pottery culture, a black pottery culture, and a grey pottery culture. And prehistory culminates in a thoroughly verified Shang state, the last

capital of which was partially excavated between 1928 and 1937. The discovery of this great, fully developed bronze age civilization, whose origins are still not satisfactorily explained, and the decipherment of its writing system, the earliest form of Chinese writing yet known, constitute one of the most sensational scholarly achievements of the present century.

The standard reference on pre-Shang archaeological remains, comprehensive and detailed but not overly technical, is "Researches into the Prehistory of the Chinese" (*Bulletin of the Museum of Far Eastern Antiquities*, Stockholm, no. 15 [1943]), by J. G. Andersson. A more general account of the whole early period of Chinese development is H. G. Creel's *The Birth of China* (reissue of the original 1937 ed.; New York: F. Ungar, 1954), which covers both the Shang and the early Chou periods in an untechnical and very readable style; it is "popular" but of reliable scholarship. In his *Studies in Early Chinese Culture: First Series* (Baltimore: Waverly Press, 1937), in a more technical style, Creel has also discussed problems relating to the origin of the Shang state and the probable existence of a still earlier Hsia state in north China, as claimed in Chinese tradition. Li Chi, who personally directed some of the Shang excavations, has briefly discussed the Shang findings from a more anthropological point of view in *The Beginnings of Chinese Civilization* (Seattle: University of Washington Press, 1957). Another Chinese archaeologist, Cheng Te-k'un, on the basis of the most recent field work accomplished under the Chinese communist regime, has suggested that it is now possible to differentiate three different strata of Shang materials, in "The Origin and Development of Shang Culture" (*Asia Major*, new series, VI [1957], 80-98).

The more important basic sources on the long and important Chou period are available in translation. These include the *Shu Ching*, a classical compendium of documents largely attributed to the early Chou rulers, translated by James Legge in volumes three and four of his *The Chinese Classics* (2d ed. rev., 8 vols.; Oxford: Clarendon Press, 1893-95) and by Bernhard Karlgren, more literally and precisely, in "The Book of Documents" (*Bulletin of the Museum of Far Eastern Antiquities*, Stockholm, no. 22 [1950], 1-81). The classical chronicle *Ch'un Ch'iu* and its more detailed

principal commentary, *Tso Chuan*, which relate events from the eighth down into the fifth century before Christ, are translated by Legge in volumes seven and eight of his *The Chinese Classics*. The standard early Chinese historical treatment of the period is Ssu-ma Ch'ien's *Shih Chi*, the annals sections of which have been translated into French by Edouard Chavannes in *Les Mémoires Historiques de Se-ma Ts'ien* (5 vols.; Paris, 1895-1905).

The only special study of the whole Chou period yet done by a Western scholar is Henri Maspero's *La Chine Antique* (rev. ed.; Paris, 1955). This is a standard reference for the period, but it has not been substantially revised since its first appearance in 1927 and is out of date in many aspects. An excellent summation of the early Chou governmental and social organization is Derk Bodde's "Feudalism in China," *Feudalism in History* (ed. Rushton Coulborn; Princeton: Princeton University Press, 1956), pp. 49-92. Richard L. Walker, in *The Multi-state System of Ancient China* (Hamden, Conn.: Shoe String Press, 1953) analyzes the inter-state rivalries of the latter part of the Chou era.

The late Chou period saw the rise of China's fundamental philosophical schools, all of which were essentially reactions to the sociopolitical chaos of the time. Confucius and his followers, whose doctrines eventually gained state approval in Han times, advocated moral regeneration and government by men of moral merit. H. G. Creel has provided a critical interpretation of China's greatest culture hero and his influence in *Confucius the Man and the Myth* (New York: John Day, 1949), which has been criticized only for over-emphasizing the democratic flavor of Confucius' thought. A more conventional interpretation is available in S. Kaizuka's *Confucius* (trans. Geoffrey Bownas; London: Allen and Unwin, 1956). The aphoristic sayings that comprise the only authentic literary remains we have of Confucius have been translated often; a standard version, with good introductory data, is Arthur Waley's *The Analects of Confucius* (London: Allen and Unwin, 1938).

The more extensive and systematic writings of Confucius' most important followers, Mencius and Hsün-tzu, are also available in translation. The book of Mencius is translated in the second volume of Legge's *The Chinese Classics*, that of Hsün-tzu in H. H. Dubs' *The Works of Hsüntze* (London: Arthur Probsthain, 1928). Dubs has also written a descriptive analysis of Hsün-tzu's highly

rationalistic thought in his *Hsüntze, the Moulder of Ancient Confucianism* (London: Arthur Probsthain, 1927). Available translations of other important early Confucian treatises include *The Great Learning* and *The Doctrine of the Mean*, both in the first volume of Legge's *The Chinese Classics*; Legge's translation of *The Classic of Filial Piety* (*Sacred Books of the East*, ed. Max Müller, Vol. III; Oxford: Clarendon Press, 1879); Legge's translation of the *Li Chi* or *Record of Ceremonious Behavior* (*Sacred Books of the East*, ed. Max Müller, Vols. XXVII and XXVIII; Oxford, Clarendon Press, 1885 and 1895); and John Steele's *The I-Li or Book of Etiquette and Ceremonial* (2 vols.; London: Probsthain, 1917).

Mo-tzu, a utilitarian philosopher who believed universal love was man's salvation but also was a respected military tactician, is represented in two books by Y. P. Mei, one a descriptive work entitled *Motse, the Neglected Rival of Confucius* (London: Arthur Probsthain, 1934), the other a translation, *The Ethical and Political Works of Motse* (London: Arthur Probsthain, 1929).

The most influential rival of Confucian philosophy in the long run was a creed called Taoism, an escapist, nature-loving, and somewhat mystical eremitism, opposed to any form of artificial interference with the natural course of the universe, including government. Eventually Taoism became associated with alchemy, immortality elixirs, and Chinese folk religion in general. H. G. Creel has proposed, in "What is Taoism?" (*Journal of the American Oriental Society*, LXXVI [1956], 139-152), that Taoism should be understood to consist of two essentially separate creeds: Philosophic Taoism, developing from an original naturalistic mysticism that might be called Contemplative Taoism into a Purposive Taoism concerned with methods of acquiring power over natural forces and mankind; and a much later Hsien Taoism, or Religious Taoism, devoted to the search for physical immortality. Joseph Needham, in the second volume of his *Science and Civilization in China* (Cambridge: University Press, 1956), sees in Taoism the seeds and early buds of a scientific approach to nature that was never permitted to attain full fruition in Confucian-dominated China.

One of the early Taoist works, the *Tao Te Ching* attributed to a shadowy person called Lao-tzu, is one of the most often translated works in the world's literature. Terse and enigmatic, it has

proved an inexhaustible challenge to all those interested in mysticism, though it is by no means exclusively mystical in its content. One of the most widely respected translations is Arthur Waley's *The Way and its Power: A Study of the Tao Te Ching and Its Place in Chinese Thought* (London: Allen and Unwin, 1934; reprinted paper-bound edition, New York: Grove Press, 1958). A very scholarly but controversial reinterpretation, based on a sequential rearrangement of the text, is J. J. L. Duyvendak's *Tao Te Ching: The Book of the Way and Its Virtue* (London: John Murray, 1954). A standard English translation of the next most influential Taoist work, attributed to Chuang-tzu, is included in James Legge's *The Texts of Taoism* (*Sacred Books of the East*, ed. Max Müller, Vols. XXXIX and XL; Oxford: Clarendon Press, 1891). An extensive study of the religious and alchemical aspect of Taoism is in the second volume of Henri Maspero's *Mélanges Posthumes sur les Religions et l'Histoire de la Chine* (Paris: Civilisations du Sud, 1950).

Legalism, not a philosophy but a "realistic," Machiavellian doctrine of systematic political control, was the third most influential system of thought that originated in late Chou times. Its basic writings are available in translation in J. J. L. Duyvendak's *The Book of Lord Shang* (London: Arthur Probsthain, 1928) and in W. K. Liao's *The Complete Works of Han Fei Tzu* (Vol. I, the only volume published; London: Probsthain, 1939).

Arthur Waley's *Three Ways of Thought in Ancient China* (London: Allen and Unwin, 1939; reprinted in paper-bound ed., New York: Doubleday, 1956) is a useful general introduction to the various Chinese philosophical systems, concentrating on Chuang-tzu, Mencius, and the Legalists (here called "the Realists").

The greatest literary monument of Chou times is the *Shih Ching*, a classical anthology of poetry attributed to the early Chou period, including both court odes and folk songs. Arthur Waley's *The Book of Songs* (London: Allen and Unwin, 1937) is a respected translation.

THE FIRST IMPERIAL ERA

Two studies by Derk Bodde are the only special works so far on the Legalist-inspired Ch'in dynasty, which established the or-

ganizational pattern that underlay the Chinese empire during two millenia of changing dynasties. One is *China's First Unifier* (Leiden: E. J. Brill, 1938), a study of Ch'in governmental policies focused upon the life of Li Ssu, one of their chief ministerial architects. The other, *Statesman, Patriot, and General in Ancient China* (New Haven: American Oriental Society, 1940), includes translations of the biographies of three Ch'in personages from Ssu-ma Ch'ien's *Shih Chi*.

The long and glorious Han dynasty has attracted more attention than the Ch'in, which has always been condemned by China's Confucian-minded historians for its harsh, totalitarian methods. The Han rulers moderated Ch'in policies and apparently became genuinely popular with the Chinese people. When a minister usurped the throne in A.D. 9 and soon lost it to rebels, the old Han family was re-established and enjoyed another two centuries of domination.

A major contribution to the study of Han history has been made by H. H. Dubs, whose *History of the Former Han Dynasty* (3 vols. now published of a projected 5; Baltimore: Waverly Press, 1938-55) is a thoroughly annotated translation of the annals sections of the basic source, Pan Ku's *Ch'ien Han Shu*. Dubs' introductory essays to the annals of the successive emperors constitute an excellent political history of the first two centuries of Han rule.

Dub's third volume is devoted almost entirely to the rise and fall of the mid-Han usurper Wang Mang, who is one of the most controversial personalities of early Chinese history. Condemned for his usurpation by traditional Chinese chroniclers, Wang Mang has usually received sympathetic treatment at the hands of Westerners, who tend to see him as a frustrated but sincere socialistic experimenter. Dubs, however, views his attempted nationalization of land, his attempted amelioration of slavery, his monetary changes, and his other reforms as calculated efforts to enrich himself which so alienated the upper classes of his time as to bring on his speedy overthrow in A.D. 21. C. B. Sargent, in his *Wang Mang: A Translation of the Official Account of His Rise to Power* (Shanghai, 1949), takes a rather neutral, noncommittal view of Wang. But Hans Bietenstein has reasserted a sympathetic view of the usurper in "The Restoration of the Han Dynasty, with Prolegomena on the Histori-

ography of the Hou Han Shu" (*Bulletin of the Museum of Far Eastern Antiquities*, Stockholm, no. 26 [1954], 1-209). Bielenstein's study suggests that Wang's fall cannot be attributed to exploitive misgovernment; that his regime was stable and an improvement over its predecessors; and that the upper classes generally showed relatively little dissatisfaction with him. Bielenstein attributes Wang's fall to the uncontrollable, cumulative social effects of a disastrous change in the lower course of the Yellow River that occurred before A.D. 11, eventually driving large numbers of uprooted peasants into banditry and rebellion.

The Latter Han period has been neglected. It was a relatively placid period in which governmental morale gradually deteriorated through the intrigues of imperial in-laws and palace eunuchs. The Han state finally collapsed in a swirl of Hunnish uprisings, peasant rebellions, and warlord coups. One of the principal rebellions of this period, a magico-religious Taoist movement of a type that recurred frequently in Chinese history, has been analyzed by Howard S. Levy in "Yellow Turban Religion and Rebellion at the End of Han" (*Journal of the American Oriental Society*, LXXVI [1956], 214-227).

A standard monographic study of the Former Han governmental organization is Wang Yü-ch'uan's "An Outline of the Central Government of the Former Han Dynasty" (*Harvard Journal of Asiatic Studies*, XII [1949], 134-187). A promising study of the Han law code and judiciary has been begun by A. F. P. Hulswé in *Remnants of Han Law* (Vol. I, all so far published; Leiden: E. J. Brill, 1955). Government attitudes toward economic problems, reflecting continuing tensions between Confucian and Legalist views, were aired in a great court debate in 81 B.C., which is reported on in Esson M. Gale's *Discourses on Salt and Iron: A Debate on State Control of Commerce and Industry in Ancient China* (Leiden: E. J. Brill, 1931; continued in *Journal of the North China Branch of the Royal Asiatic Society*, LXV [1934], 73-110).

Several important contributions have been made to the study of Han socio-economic conditions. One of these is C. Martin Wilbur's *Slavery in China During the Former Han Dynasty* (Chicago: Field Museum of Natural History, 1943). An even more monumental effort is Nancy Lee Swann's *Food and Money in Ancient China: The*

Earliest Economic History of China to A.D. 25 (Princeton: Princeton University Press, 1950), an annotated translation of Pan Ku's *Ch'ien Han Shu* treatises on economics. The general introductory sections of Pan Ku's treatises and comparable ones from other early dynastic histories have been studied by Rhea C. Blue, in "The Argumentation of the *Shih-huo chih* Chapters of the Han, Wei, and Sui Dynastic Histories" (*Harvard Journal of Asiatic Studies*, XI [1948], 1-118).

A large-scale study of the life and work of China's first great historian, whose *Shih Chi* set a lasting historiographic pattern for all East Asia and is perhaps the most influential history ever written, is now available in Burton Watson's *Ssu-ma Ch'ien, Grand Historian of China* (New York: Columbia University Press, 1958). Nancy Lee Swann's *Pan Chao, Foremost Woman Scholar of China* (New York: Century, 1932) is a biographical study of one of the most eminent scholarly families of the Han period, that of the historian Pan Ku.

THE AGE OF DISRUPTION AND DIVISION

The Han collapse was the political reflection of great social and intellectual ferment, which is brilliantly analyzed by Etienne Balazs in "La Crise Sociale et la Philosophie Politique à la Fin des Han" (*T'oung Pao*, XXXIX [1949], 83-131). The three and a half centuries that passed before the nation was again consolidated witnessed a fundamental transformation of Chinese life. This long age of neo-feudal disruption, once considered an uninteresting dark age, is now consequently being studied with vigor, principally from a socio-economic point of view. Derk Bodde's "Feudalism in China," already mentioned, describes the political decentralization that characterized this period; and Yang Lien-sheng in "Notes on the Economic History of the Chin Dynasty" (*Harvard Journal of Asiatic Studies*, IX [1946], 107-185) describes some of its feudalistic socio-economic arrangements. Another recent sociological contribution is Wang I-t'ung's "Slaves and Other Comparable Social Groups during the Northern Dynasties (386-618)" (*Harvard Journal of Asiatic Studies*, XVI [1953], 293-364). Etienne Balazs has made sweeping interpretative analyses of social, economic, and institutional developments during the era of political division in two

recent monographs: *Le Traité Economique du "Souei-Chou"* (Leiden: E. J. Brill, 1953) and *Le Traité Juridique du "Souei-Chou"* (Leiden: E. J. Brill, 1954).

A good general account of Chinese history during this age is in Eberhard's *History of China*. Eberhard's book is disproportionately extensive in its treatment of the period, but the detail here is welcome. Eberhard has also devoted special attention, but in an even more decidedly sociological approach, to one of the important "barbarian" states of the time in north China, the Northern Wei (386-534), in *Das Toba-reich Nord-chinas: Eine Sozialische Untersuchung* (Leiden: E. J. Brill, 1949). Another north China "barbarian" state, Yen (285-370), is the subject of one of the rare dynastic political histories available in English, Gerhard Schreiber's "The History of the Former Yen Dynasty" (*Monumenta Serica*, XIV [1949-55], 374-480; XV [1956], 1-141). William M. McGovern gives a fairly detailed narrative of the various Hunnish invasions of China, during as well as after the Han period, in his *The Early Empires of Central Asia* (Chapel Hill: University of North Carolina Press, 1939). And a useful survey of historical developments during the Three Kingdoms era immediately following the Han collapse is included in the prolegomena of J. K. Shryock's *The Study of Human Abilities* (New Haven: American Oriental Society, 1937), the translation of a third-century treatise on psychology.

T'ao Ch'ien, a fourth- and fifth-century nature poet who is one of the most beloved literary figures of Chinese history, is the subject of a monographic study by William Acker, *T'ao the Hermit: Sixty Poems by T'ao Ch'ien* (London: Thames and Hudson, 1952).

Buddhism in China

From the point of view of cultural history, the most important development of the age of division was the establishment of Buddhism as a permanent influence in Chinese life. Introduced from India sometime about the middle of the long Han period, Buddhism with its profound religious concerns seems to have satisfied human wants that had been neglected by the more man-centered native philosophies. Especially thriving upon the intellectual ferment that accompanied political disruption, it became the dominant intellectual force in China between the Han and T'ang dynasties and continued dominant through most of the T'ang era, after

which a revived Confucianism won the initiative away from it and relegated it to its recent role as a rather vulgarized and non-intellectual popular religion. Arthur F. Wright, in "Buddhism and Chinese Culture: Phases of Interaction" (*Journal of Asian Studies*, XVII [1957-58], 17-42), has suggested a four-way periodization of the history of Buddhism in China: a Period of Preparation from about A.D. 65 to 317; then a Period of Domestication from 317 to 589; then a Period of Acceptance and Independent Growth from 589 to about 900; and finally a Period of Appropriation from about 900 to the present.

The general history of Buddhism in China is narrated succinctly in the third volume of Charles Eliot's standard work, *Hinduism and Buddhism: An Historical Sketch* (3 vols.; New York: Barnes and Noble, 1954), and in Z. Tsukamoto's "Buddhism in China and Korea," *The Path of the Buddha* (ed. Kenneth W. Morgan; New York: Ronald Press, 1956), pp. 182-236. A good introduction to the doctrinal aspects of Chinese Buddhism is J. Takakusu's *The Essentials of Buddhist Philosophy* (2d ed.; South Pasadena: Perkins, 1949). The history and techniques of the extreme Ch'an or Zen sect, which is anti-dogma, anti-canon, and anti-reason and attracts increasing attention in the Western world, has been voluminously explored by the great modern Japanese Zen master, D. T. Suzuki. A selection of his authoritative but in part controversial writings is now available in a paper-bound edition entitled *Zen Buddhism* (ed. William Barrett; Garden City: Doubleday, 1956).

Many recent scholarly monographs illuminate the socio-economic aspects of Buddhist history in China. Probably the most important of these contributions is Jacques Gernet's *Les Aspects Economiques du Bouddhisme dans la Société Chinoise due V^e au X^e Siècle* (Saigon, Ecole Française d'Extrême-Orient, 1956), which advances a number of provocative hypotheses about the relation of Buddhism to medieval Chinese economic developments. Some of Gernet's hypotheses have been evaluated and extended in two review articles in English, Arthur F. Wright's "The Economic Role of Buddhism in China" (*Journal of Asian Studies*, XVI [1956-57], 408-414) and D. C. Twitchett's "The Monasteries and China's Economy in Medieval Times" (*Bulletin of the School of Oriental and African Studies*, University of London, XIX [1957], 526-549).

Other recent contributions in this field include two articles by

Kenneth Ch'en on different aspects of Chinese resistance to Buddhism, "On Some Factors Responsible for the Anti-Buddhist Persecution under the Pei-ch'ao" (*Harvard Journal of Asiatic Studies*, XVII [1954], 261-273) and "The Economic Background of the Hui-ch'ang Suppression of Buddhism" (*Harvard Journal of Asiatic Studies*, XIX [1956], 67-105). Walter Liebenthal's "Chinese Buddhism During the 4th and 5th Centuries" (*Monumenta Nipponica*, XI [1955], 44-83) analyzes the reactions of various social classes to Buddhism and the succession of disputes and debates that marked Buddhist history in China. Yang Lien-sheng, in "Buddhist Monasteries and Four Moneyraising Institutions in Chinese History" (*Harvard Journal of Asiatic Studies*, XIII [1950], 174-191), traces pawnbroking, mutual financing associations, auction sales, and lottery promotions back to origins in Buddhist practices.

THE GOLDEN AGE OF EMPIRE

The northern Sui state, which reunited China in 589, has suffered at historians' hands, like the earlier Ch'in regime which it significantly resembles. The Sui rulers were forceful tyrants, and they overextended themselves in costly construction projects and military adventures. Though they set the stage for a glorious resurgence of Chinese vigor in the T'ang period, in doing so they overburdened the people and were overthrown. Arthur F. Wright has clarified the ideological devices utilized by the Sui state in its rise to power, in "The Formation of Sui Ideology, 581-604" (*Chinese Thought and Institutions*, ed. J. K. Fairbank; pp. 71-104); and Woodbridge Bingham has analyzed Sui's downfall in *The Founding of the T'ang Dynasty: The Fall of Sui and the Rise of T'ang* (Baltimore: Waverly Press, 1941).

The brilliant T'ang period, always a favorite subject with both Chinese and Western students, continues to be investigated. Bingham's study of the founding of this dynasty is supplemented by a narrative biography of Li Shih-min, the second T'ang emperor and actual founding genius, who must probably be acknowledged the greatest man of Chinese history: C. P. Fitzgerald's *Son of Heaven* (Cambridge: University Press, 1933), which emphasizes Li's peacetime, administrative achievements as well as his military exploits. Fitzgerald has also contributed a narrative biography of *The Em-*

press Wu (Melbourne: Australian National University, 1955), an imperial concubine of great beauty and talent who in 684 usurped the T'ang throne unopposed and for the next twenty years actually reigned over China, the only woman ever to do so.

The T'ang governmental organization has been authoritatively described in a monumental work of Sinological scholarship by Robert des Rotours, *Traité des Fonctionnaires et Traité de l'Armée* (2 vols.; Leiden: E. J. Brill, 1947-48), a thoroughly annotated translation of treatises from the official dynastic history. Rotours' *Le Traité des Examens* (Paris: Librairie Ernest Leroux, 1932), another annotated translation, is a study of the civil-service examination recruitment system of the T'ang period, in which this characteristic and famous Chinese governmental institution attained its early maturity.

Poetry was the chief cultural glory of the T'ang period, and the major T'ang poets are well represented in translation. Tu Fu, a Confucian-minded and acutely social-conscious bureaucrat-poet whom the Chinese have traditionally considered their greatest poetic genius, is now represented in a scholarly biography, including prose renderings of his earnest and erudite poems: William Hung's *Tu Fu, China's Greatest Poet* (2 vols.; Cambridge, Mass.: Harvard University Press, 1952). Arthur Waley has written a short biography of Tu Fu's eighth-century contemporary and friend Li Po, whose more carefree and lyrical Taoist-inclined spirit has made him the special darling of Western students of Chinese literature, in *The Poetry and Career of Li Po* (London: Allen and Unwin, 1950). Another useful contribution is S. Obata's *The Works of Li Po* (New York, Dutton, 1922). The third ranking T'ang poet is the subject of Arthur Waley's *The Life and Times of Po Chü-i (772-846)* (New York: Macmillan, 1949).

Among the most substantial contributions to the study of T'ang China that have been made in recent years are two volumes by Edwin O. Reischauer: *Ennin's Diary* and *Ennin's Travels in T'ang China* (both New York, Ronald Press, 1955). Ennin was a Japanese Buddhist monk who traveled widely and observantly in China between 838 and 847. His travel diary, written in Chinese, is the earliest large-scale and general account of China by a foreign visitor that is now known. Reischauer's *Ennin's Diary* is an annotated

translation of this account. *Ennin's Travels in T'ang China*, of more general usefulness, is Reischauer's systematic description of Ennin's activities and of Chinese life as Ennin saw it.

A standard monographic reference for the northern nomads of the T'ang period is Edouard Chavannes' *Documents sur les Tou-kiue (Turcs) Occidentaux* (St. Petersburg, 1903), which includes a general history of Turk domination of the Inner Asian steppes. James R. Hamilton has now supplemented this with a study of the Uighur peoples, who succeeded the Turks as China's most powerful neighbors, in *Les Ouighours à l'Époque des Cinq Dynasties, d'après les documents chinois* (Paris: Imprimerie Nationale, 1955).

Edwin G. Pulleyblank, in *The Background of the Rebellion of An Lu-shan* (London: Oxford University Press, 1955), has made an exhaustive study of the eighth-century conditions and events that precipitated a major rebellion, one of the most renowned of China's history, which set the T'ang regime on a long decline. Howard S. Levy's *Biography of Huang Ch'ao* (Berkeley: University of California Press, 1955) is a less analytical account of a late ninth-century rebellion which contributed further toward the final T'ang collapse. Levy's work consists primarily of a translation from the principal Chinese source. Other aspects of the T'ang decline are explored in D. C. Twitchett's "The Salt Commissioners after An Lu-shan's Rebellion" (*Asia Major*, new series, IV [1954], 60-89).

After the fall of the centralized T'ang state at the beginning of the tenth century, north central China was controlled by a succession of five short-lived dynasties while south China was divided among autonomous regional kingdoms, called the Ten Kingdoms. Edward H. Schafer, in *The Empire of Min* (Rutland, Vt.: Charles E. Tuttle Co., 1954), has now provided a broad history of one of these southern kingdoms, located in the modern coastal province of Fukien. His account treats of geography, governmental organization, political history, economy, the arts, and religion. Except for this, the transitional Five Dynasties epoch remains neglected by general historians.

As regards the long Sung dynasty, which carried Chinese culture to a peak of elegance and sophistication but gradually lost territory to nomadic invaders, interest among general historians has primarily focused on the eleventh century and Wang An-shih. This

Wang, like Wang Mang of the Han period, was a socialistic experimenter. As prime minister, he introduced many significant changes in economic policy, military organization, and civil-service recruitment practices, provoking a bitter factional struggle in the bureaucracy between his supporters and his conservative enemies. This is one of the rare periods in which Chinese politics have a modern Western flavor. It is studied analytically in H. R. Williamson's *Wang An Shih, a Chinese Statesman and Educationalist of the Sung Dynasty* (2 vols.; London: Arthur Probsthain, 1935-37). Lin Yutang presents a vigorous anti-Wang interpretation of the period in *The Gay Genius* (New York: John Day, 1947), a colorful narrative biography of Su Tung-p'o, the most eminent poet of the Sung era. An earlier eleventh-century political controversy is analyzed by James T. C. Liu in "An Early Sung Reformer: Fan Chung-yen" (*Chinese Thought and Institutions*, ed. J. K. Fairbank; pp. 105-131).

E. A. Kracke's *Civil Service in Early Sung China, 960-1067* (Cambridge, Mass.: Harvard University Press, 1953) has contributed a thorough study of the elaborate techniques utilized in personnel administration at this time; it includes the only available general description of the Sung governmental organization. Kracke has also, in "Sung Society: Change Within Tradition" (*Far Eastern Quarterly*, XIV [1954-55], 479-488), made an important interpretation of the social change that accompanied the notable urbanization of Sung times. In the face of a common belief that traditional Chinese social organization did not permit significant change, Kracke suggests that there was a substantial change in the general character of Chinese society in the Sung period and that the unchanging stability, or stagnation, that seems to characterize it subsequently was by no means the inevitable result of inherent trends.

The most important cultural development of Sung times was the culmination of a Confucian reaction to the Buddhist infiltration of China: a rethinking of Confucian doctrines into a more metaphysical philosophical system called Neo-Confucianism. The standard reference on Sung Neo-Confucianism and its subsequent development is the second volume of Fung Yu-lan's *History of Chinese Philosophy*. A new contribution is Carsun Chang's *The Development of Neo-Confucian Thought* (New York: Bookman Associates,

1957). J. P. Bruce describes the rationalist thought of the greatest Neo-Confucian synthesizer in *Chu Hsi and His Masters* (London: Probsthain, 1923) and *The Philosophy of Human Nature by Chu Hsi* (London: Probsthain, 1922). A rival, idealistic school of Neo-Confucianism is analyzed by S. C. Huang in *Lu Hsiang-shan, a Twelfth Century Chinese Idealist Philosopher* (New Haven: American Oriental Society, 1944). In "A Reappraisal of Neo-Confucianism" (*Studies in Chinese Thought*, ed. A. F. Wright; Chicago: University of Chicago Press, 1953), W. T. de Bary has emphasized the political concerns that animated the Sung philosophers.

The development of short prose fiction was an important cultural aspect of the T'ang and Sung periods. Representative selections of these early short stories are available in Lin Yutang's *Famous Chinese Short Stories* (New York: John Day, 1952; paper-bound ed., New York: Pocket Books, 1952) and C. C. Wang's *Traditional Chinese Tales* (New York: Columbia University Press, 1944). H. F. Schurmann's "On Social Themes in Sung Tales" (*Harvard Journal of Asiatic Studies*, XX [1957], 239-261) is an analysis of a few random stories from a socio-historical point of view.

Two major technological advances occurred in this period. One was the invention and rapid perfecting of printing techniques, which seems to have contributed greatly to the evident social changes of the Sung period. The standard study of this development is T. F. Carter's *The Invention of Printing in China and its Spread Westward* (rev. by L. C. Goodrich; New York: Columbia University Press, 1955). The other major technological advance was in the use of gunpowder for firearms, prototypes of which were employed by the Sung Chinese against Mongol invaders in the thirteenth century. L. C. Goodrich and Feng Chia-sheng, in "The Early Development of Firearms in China" (*Isis*, XXXVI [1945-46], 114-123 and 250-251), and Wang Ling, in "On the Invention and Use of Gunpowder and Firearms in China" (*Isis*, XXXVII [1947], 160-178), review the basic Chinese source materials in this field.

Lo Jung-pang has made an important contribution to our understanding of general Chinese history in "The Emergence of China as a Sea Power During the Late Sung and Early Yüan Periods" (*Far Eastern Quarterly*, XIV [1954-55], 489-503). Tra-

ditional China has normally been considered an exclusively land-oriented civilization. Lo shows that by late Sung times acute social and environmental changes had in fact stimulated intensive naval development. China remained a strong naval power until the early fifteenth century, when a eunuch admiral named Cheng Ho repeatedly scoured the Indian Ocean with large tribute-seeking fleets. This final Chinese outburst of seafaring vigor is summarized in J. J. L. Duyvendak's *China's Discovery of Africa* (London: Arthur Probsthain, 1949).

THE AGE OF INVASIONS

In the interval between the Sung and Ming dynasties China was ruled by the Mongols. Nomadic pressures on north China had increased steadily after the T'ang decline. During the first half of the Sung period the Peking region was occupied by a proto-Mongol people called Ch'i-tan or Khitan (whence comes the name Cathay), whose Liao empire had replaced that of the Uighurs as the dominant power in the northern steppes. This Liao empire has been subjected to the most massive analysis yet applied to any dynastic regime in China's history, *History of Chinese Society: Liao*, by Karl A. Wittfogel and Feng Chia-sheng (Philadelphia: American Philosophical Society, 1949). Besides covering Liao political history, Wittfogel and Feng have intensively and exhaustively analyzed the social, economic, and governmental aspects of the period. Perhaps their most important contribution has been to disprove conclusively the traditional notion that Chinese civilization has always absorbed and sinicized its conquerors, but their book abounds in important contributions. It is one of Sinology's monuments of modern critical scholarship.

The proto-Manchu Jurchen peoples, who overthrew Liao from the rear and in 1126 drove the Sung Chinese southward out of the Yellow River plain, are not yet significantly represented in Western literature. But the Mongols, who in turn overthrew the Jurchen Chin state and finally even the Sung in south China, have been abundantly studied. The standard history in English is H. H. Howorth's *History of the Mongols from the 9th to the 19th Century* (4 vols. in 5; London: Longmans Green, 1876-1927). Perhaps the best short history is Michael Prawdin's *The Mongol*

Empire: Its Rise and Legacy (trans. Eden and Cedar Paul; London: Allen and Unwin, 1940).

Henry Yule's *Cathay and the Way Thither* (4 vols., ed. Henri Cordier; London: Hakluyt Society, 1913-16) is a standard source-book on the activities of Christian missionaries among the Mongols. In *Christians in China Before the Year 1550* (London: Society for Promoting Christian Knowledge, 1930), A. C. Moule has described the Franciscan establishment in Yüan China as well as the still earlier introduction of the Nestorian heresy in T'ang times. Yule's *The Book of Ser Marco Polo* (3d ed., rev. by Henri Cordier, 2 vols.; London: John Murray, 1929) is the standard reference on the famous Venetian merchant traveler who spent seventeen years in China in Kubilai Khan's reign.

Most of the available materials on the Mongols do not primarily concern their activities in China. More attention is paid to China by H. Desmond Martin in his *The Rise of Chingis Khan and His Conquest of North China* (Baltimore: Johns Hopkins Press, 1950). But there is yet no general survey of the Yüan dynasty established by Kubilai Khan and maintained in China until 1368. Herbert Franke's *Geld und Wirtschaft in China unter der Mongolen-Herrschaft* (Leipzig, Otto Harrassowitz, 1949) and H. F. Schurmann's *Economic Structure of the Yüan Dynasty* (Cambridge, Mass.: Harvard University Press, 1956) contributed to the economic history of the period.

The Mongol era marked the emergence of drama as a distinctive Chinese literary form. James I. Crump, in "The Elements of Yüan Opera" (*Journal of Asian Studies*, XVII [1957-58], 417-434), describes the main characteristics of the classical dramatic form now established, and S. I. Hsiung, in *The Romance of the Western Chamber* (New York: Liveright, 1936), offers a translation of the masterpiece of Chinese drama composed in Yüan times.

THE INDIAN SUMMER OF THE EMPIRE

Little scholarly work has yet been done on the domestic history of the Ming and early Ch'ing periods. The only extensive biographical study for the Ming era is Chang Yü-ch'uan's "Wang Shou-jen as a Statesman" (*Chinese Social and Political Science Review*, XXIII [1939-40], 30-99, 155-259, 319-375, 473-517), a

narrative account of the distinguished bureaucratic career of an early sixteenth-century scholar best known as an idealistic Neo-Confucian philosopher by the name Wang Yang-ming. C. O. Hucker, in "The Tung-lin Movement of the Late Ming Period" (*Chinese Thought and Institutions*, ed. J. K. Fairbank; pp. 132-162), has analyzed the political activities engaged in by a group of moral reformers from the 1590's into the 1620's, which finally provoked a disastrous vengeful purge of the officialdom by China's most famous eunuch dictator, Wei Chung-hsien. This shattering of bureaucratic morale was an important contributing factor in the Ming government's inability to cope with peasant rebellions of the 1630's and its overthrow by a rebel in 1644. One of the rebellions that helped terminate the Ming regime is analyzed by James B. Parsons in "The Culmination of a Chinese Peasant Rebellion: Chang Hsien-chung in Szechwan, 1644-46" (*Journal of Asian Studies*, XVI [1956-57], 387-400).

Wang I-t'ung has written an enlightening account of the Ming court's vain attempts to curb Japanese piracy in East Asian waters, *Official Relations between China and Japan, 1368-1549* (Cambridge, Mass.: Harvard University Press, 1953). C. O. Hucker describes one Ming governmental institution in "The Traditional Chinese Censorate and the New Peking Regime" (*American Political Science Review*, XLV [1951], 1041-1057).

Most of the available Western-language materials that relate to the Ming period naturally concentrate on the early attempts by Europeans to open a now rather xenophobic China to commercial and missionary exploitation. Contacts during the Mongol period had been minor, and they had been quickly broken. But Europe still dreamed of tapping the fabled wealth of Cathay, and from the time of Vasco da Gama's discovery of a sea route around Africa in 1498 efforts were re-intensified. After a first contact at Canton in 1514, the Portuguese long dominated Sino-European relations. Two good books are now available on the Portuguese adventure in China: C. R. Boxer's *Fidalgos in the Far East, 1550-1770* (The Hague: Martinus Nijhoff, 1948) and Chang T'ien-tse's *Sino-Portuguese Trade from 1514 to 1644* (Leiden: E. J. Brill, 1934).

Several early Western visitors wrote first-hand descriptions of

Chinese life of the Ming period. The most comprehensive of these is by Matteo Ricci, a brilliant Jesuit who was the first missionary permitted to penetrate Ming China. Ricci's accounts of the China he knew and of his order's early successes there have been translated in full by Louis J. Gallagher under the title *China in the Sixteenth Century: The Journals of Matthew Ricci, 1583-1610* (New York: Random House, 1953). Three briefer and less general accounts, by Portuguese and Spaniards who saw China largely from prisons between 1550 and 1575, have been brought together in translation by C. R. Boxer under the title *South China in the Sixteenth Century* (London: Hakluyt Society, 1953).

When the Ming capital, Peking, fell to a domestic rebel in 1644, the opportunity for invasion was seized upon by the Manchus, a sedentary, relatively cultured, and well-organized people who had established themselves in modern Manchuria. The Manchus substituted themselves for the defunct Ming dynasty with a minimum of disruption and led the Chinese to their last glorious days of empire in the late seventeenth and eighteenth centuries. For general historical data on their Ch'ing dynasty, the standard reference is a monumental biographical encyclopaedia edited by Arthur W. Hummel, *Eminent Chinese of the Ch'ing Period* (2 vols.; Washington: Government Printing Office, 1943-44).

Franz Michael, in *The Origin of Manchu Rule in China* (Baltimore: Johns Hopkins Press, 1942), analytically explains the Manchu conquest. Another important monographic study of Ch'ing domestic affairs is L. C. Goodrich's *The Literary Inquisition of Ch'ien-Lung* (Baltimore: Waverly Press, 1935), an analysis of censorship and thought-control techniques utilized by the Manchus during the eighteenth century to secure their control over the subject Chinese. A. E. Grantham's *A Manchu Monarch: An Interpretation of Chia Ch'ing* (London: Allen and Unwin, 1934) is an uncritical and undocumented, but still useful, narrative biography of an early nineteenth-century emperor whose reign marked the end of Ch'ing imperial glories and foreshadowed the steady decline of China's prestige during the 1800's.

The most generally useful of several available descriptions of the Ch'ing political system is Hsieh Pao-chao's *The Government of China (1644-1911)* (Baltimore: Johns Hopkins Press, 1925).

Specialized aspects of government are analyzed in Alfred K. L. Ho's "The Grand Council in the Ch'ing Dynasty" (*Far Eastern Quarterly*, X [1951-52], 167-182); Hsiao Kung-ch'uan's "Rural Control in Nineteenth Century China" (*Far Eastern Quarterly*, XII [1952-53], 173-181); and J. K. Fairbank and S. Y. Teng's "On the Ch'ing Tributary System" (*Harvard Journal of Asiatic Studies*, VI [1941], 135-246). *The Hung Society, or The Society of Heaven and Earth* by J. S. M. Ward and W. G. Stirling (3 vols.; London: Baskerville Press, 1925-26) is an authoritative study of one of several great nationalistic secret societies that flourished during the Manchu era.

Prior to the nineteenth century, missionaries continued to be the most important agents of Sino-European contacts. Great successors of Ricci became very influential at the Peking court and even tutored Manchu emperors; but the missionary cause was increasingly hampered and restrained, primarily because of rivalries among competing clerical orders. Arnold H. Rowbotham has written a vivid general history of the pre-nineteenth-century China missions in *Missionary and Mandarin: The Jesuits at the Court of China* (Berkeley: University of California Press, 1942).

The most notable cultural attainments of the Chinese during the Ming and Ch'ing periods were in writing colloquial fiction, long novels as well as short stories. A concise and rather technical history of short fiction is included in J. L. Bishop's *The Colloquial Short Story in China: A Study of the San-Yen Collections* (Cambridge, Mass.: Harvard University Press, 1956); and the most famous single collection of Chinese short stories is represented in translation by H. A. Giles' *Strange Stories from a Chinese Studio* (4th rev. ed.; Shanghai: Kelly and Walsh, 1936). Of the various major novel types, the classic historical novel is *San Kuo, or Romance of the Three Kingdoms* (trans. C. H. Brewitt-Taylor, 2 vols.; Shanghai, 1925). The most famous novel of the supernatural, *Hsi Yu Chi*, the story of a Buddhist pilgrim's travels from China to India, has been translated under the title *Monkey* by Arthur Waley (New York: John Day, 1943; reprint paper-bound ed., New York: Grove Press, 1958). *Shui-hu Chuan*, the classic picaresque novel that is probably the best loved and most influential of all Chinese fiction, has been translated by

Pearl S. Buck as *All Men Are Brothers* (2 vols., New York: Grove Press, 1957) and by J. H. Jackson as *Water Margin* (2 vols.; Shanghai, 1937); in addition, it is the subject of a monographic study in literary history: *The Evolution of a Chinese Novel, Shui-hu-chuan* by Richard Irwin (Cambridge, Mass: Harvard University Press, 1952). *Chin Ping Mei* (introduction by Arthur Waley; New York: Putnam, 1947) is China's earliest realistic, and somewhat pornographic, novel of domestic manners and love. The climax of the fictional tradition came with *Hung Lou Meng*, a panoramic survey of eighteenth-century Chinese life built around the decline of an eminent gentry family; this has been translated by C. C. Wang under the title *Dream of the Red Chamber* (Garden City: Doubleday, 1929; new ed. due 1958).

Arthur Waley's *Yuan Mei, Eighteenth Century Chinese Poet* (London: Allen and Unwin, 1956; paper-bound ed., New York: Grove Press, 1958) is a very readable biography of a little known but, in Waley's words, "a lovable, witty, generous, affectionate, hot-tempered, wildly prejudiced man."

MODERN CHINA: AGE OF TRANSITION

The Nineteenth Century

Rapid decline of China's millenia-old imperial tradition was signalized by the Opium War of 1839-42, in which small British forces grievously humiliated the empire. From that time on Manchu control was shaken by successive foreign aggressions and domestic upheavals, and half-hearted attempts to revive the dying empire proved vain. In 1911-12 revolution ushered in a new republican age of Chinese development, distorted into a communist mold at mid-twentieth century.

The most thorough chronicle of China's domestic history during this transition period is Li Chien-nung's *The Political History of China, 1840-1928* (trans. S. Y. Teng and J. Ingalls; Princeton: Van Nostrand, 1956), the translation of a standard work in Chinese. K. S. Latourette's paper-bound *A History of Modern China* (London: Penguin Books, 1954) is a good brief account of the nineteenth and twentieth centuries. But J. K. Fairbank's *The United States and China* (Cambridge, Mass.: Harvard University

Press, 1948; rev. ed. due 1958), despite the narrow implications of its title, is probably the best short and interpretative introduction to the over-all problems of modern China's tortuous evolution for the Western reader.

Also usable as general histories of modern China are many textbooks on the Far East as a whole, which ordinarily emphasize international relations. Standard works of this sort include H. F. MacNair and D. F. Lach's *Modern Far Eastern International Relations* (2d ed.; New York: Van Nostrand, 1955); Harold M. Vinacke's *A History of the Far East in Modern Times* (5th ed.; New York: Appleton-Century-Crofts, 1950); Paul H. Clyde's *The Far East* (3d ed.; Englewood Cliffs, N. J.: Prentice-Hall, 1958); Franz Michael and G. E. Taylor's *The Far East in the Modern World* (New York: Holt, 1956); K. S. Latourette's *A Short History of the Far East* (rev. ed.; New York: Macmillan, 1951); and Fred Greene's *The Far East* (New York: Rinehart, 1957).

No attempt can be made here to survey the abundant monographic literature relating to modern China's international relations, which is adequately introduced in the bibliographies of the above-mentioned textbooks. Among the more interesting recent contributions are J. K. Fairbank's *Trade and Diplomacy on the China Coast: The Opening of the Treaty Ports, 1842-1854* (2 vols.; Cambridge, Mass: Harvard University Press, 1953) and Earl Swisher's *China's Management of the American Barbarians: A Study of Sino-American Relations, 1841-1861, with Documents* (New Haven: Far Eastern Association, 1953).

Scholarly interest in China's domestic history during the nineteenth century has recently focused primarily on the Taiping Rebellion, led by a vision-driven revolutionary who considered himself the second son of God and younger brother of Jesus. No thorough history of the rebellion, which devastated the southern half of China and reportedly claimed thirty million lives, is yet available in a Western language. A standard reference on its origins is G. E. Taylor's "The Taiping Rebellion: Its Economic Background and Social Theory" (*Chinese Social and Political Science Review*, XVI [1932-33], 545-614). The curious ideology of the Taiping rebels, which was partly a warped Christianity and partly a proto-communist socialism, is analyzed in two recent

monographs: Vincent Y. C. Shih's "The Ideology of the Taiping T'ien Kuo" (*Sinologica*, III [1951], 1-15) and Eugene P. Boardman's "Christian Influence upon the Ideology of the Taiping Rebellion" (*Far Eastern Quarterly*, X [1950-51], 115-124). Boardman has also contributed, with So Kuan-wai, a biographical sketch of the most Westernized of the Taiping leaders in "Hung Jen-kan, Taiping Prime Minister, 1859-1864" (*Harvard Journal of Asiatic Studies*, XX [1957], 262-294). Still useful for study of the Taiping era is T. T. Meadows' *The Chinese and Their Rebellion* (Stanford: Academic Reprints, 1954), the observations on China of a British consular official first published in 1856. A peculiar sort of organized banditry that contemporaneously wracked north central China has been analyzed by Chiang Siang-tseh in *The Nien Rebellion* (Seattle: University of Washington Press, 1954).

Though it never recovered from the shock of the Taiping Rebellion, the Manchu empire was saved and to some extent revived by loyal, conservative Chinese officials who were outraged by the anti-tradition policies of the rebels. Standard biographical studies of two of these leaders are W. J. Hail's *Tseng Kuo-fan and the Tai Ping Rebellion* (New Haven: Yale University Press, 1927) and W. L. Bales' *Tso Tsung-t'ang* (Shanghai, 1937). Mary C. Wright has recently contributed a monumental general study of the mid-century attempt, led chiefly by Tseng Kuo-fan, to shore up traditional Chinese civilization in defense against the multiple assaults, domestic and foreign, to which it was being subjected. Her book, *The Last Stand of Chinese Conservatism: The T'ung-chih Restoration, 1862-1874* (Stanford: Stanford University Press, 1957), clearly shows that the very success of the Chinese effort to reaffirm the traditional social order and thus regain stability prevented, in the end, the modernization that history increasingly demanded of China.

Chester C. Tan, in *The Boxer Catastrophe* (New York: Columbia University Press, 1955), has provided a systematic re-analysis of the well-known anti-Western outbreak at the end of the century. Meribeth E. Cameron's *The Reform Movement in China, 1898-1912* (Palo Alto: Stanford University Press, 1931) remains a standard reference on the last years of the empire.

Ideological effects of the Western impact on nineteenth-century

China are best suggested in a sourcebook of Chinese writings, *China's Response to the West* by S. Y. Teng and J. K. Fairbank (2 vols.; Cambridge, Mass.: Harvard University Press, 1954).

The Nationalist Phase, 1912-1949

The revolution of 1911-12, led by Sun Yat-sen and his Kuomintang or Nationalist Party, precipitated a chaotic period in which China was divided among warlords who frustrated and repressed the idealistic revolutionaries. It was not until 1928 that the Kuomintang, militarized under the new leadership of Chiang Kai-shek, succeeded in imposing at least a loose unity on the whole of China and inaugurated planned modernization. The nationalist regime was almost immediately challenged by Japan's 1931 aggression in Manchuria, which led on inexorably to total Sino-Japanese war from 1937 to 1946, and by a domestic Communist movement, which prospered greatly during World War II and won the Chinese mainland from the Nationalists in 1949.

The most widely respected biography of Sun Yat-sen is L. Sharman's *Sun Yat-sen, His Life and Its Meaning, a Critical Biography* (New York: John Day, 1934). His revolutionary program is outlined in his *San Min Chu I: The Three Principles of the People* (trans. F. W. Price; Shanghai, 1927). Marius B. Jansen, in *The Japanese and Sun Yat-sen* (Cambridge, Mass.: Harvard University Press, 1954), has analyzed the support Sun received during years of exile in Japan prior to the revolution. One of the principal groups that competed with Sun for leadership of new China, a group of relatively conservative reformers who were interested in retaining China's unique cultural identity, has been studied in somewhat psychoanalytical fashion by J. R. Levenson in *Liang Ch'i-ch'ao and the Mind of Modern China* (Cambridge, Mass.: Harvard University Press, 1953).

There is as yet no general scholarly treatment of the nationalist phase of modern history. The warlord period is given general coverage in H. F. MacNair's *China in Revolution: An Analysis of Politics and Militarism under the Republic* (Chicago: University of Chicago Press, 1931). F. W. Houn's *Central Government of China, 1912-1928: An Institutional Study* (Madison: University of Wisconsin Press, 1957) is a substantial specialized

contribution, as is Hu Shih's *The Chinese Renaissance* (Chicago: University of Chicago Press, 1934), a great modern intellectual leader's story of revolutionary educational and ideological changes.

The most up-to-date work in its field is Emily Hahn's *Chiang Kai-shek, an Unauthorized Biography* (Garden City: Doubleday, 1955), which is well balanced and on the whole sympathetic. Chiang's autobiography, *Soviet Russia in China: A Summing-Up at Seventy* (New York: Farrar, Straus, and Cudahy, 1957), is understandably polemical and is not very readable. *A Military History of Modern China 1924-1949* by F. G. Liu (Princeton: Princeton University Press, 1956) is a dispassionate, well-informed, and enlightening study of how Chiang built the Kuomintang's military power, fought the Japanese, and eventually lost the mainland to the communists. Liu's work suggests that nationalist China was eventually undone by Chiang's loyal reliance upon a clique of often unprogressive and unaggressive officers trained largely by himself in the 1920's.

A more general interpretation of the Kuomintang's failure in China has been offered by Mary C. Wright in "From Revolution to Restoration: the Transformation of Kuomintang Ideology" (*Far Eastern Quarterly*, XIV [1954-55], 515-532). In Mrs. Wright's view the Kuomintang, beginning as the revolutionary heir of the Taiping Rebellion, under Chiang Kai-shek became instead the backward-looking defender of traditional Confucian morality. It idolized Tseng Kuo-fan and similarly devoted itself to the restoration of social order. Whereas Tseng's conservatism ultimately failed because it did not sufficiently compromise its support of the Chinese cultural essence, she believes, the Kuomintang failed because it compromised still less. Mrs. Wright urges that what was needed in either case was a fundamental improvement in the economic lot of the Chinese peasant and that in modern times only the Communist movement promised this.

Specialized aspects of social and intellectual changes wrought in the Kuomintang era have been studied from various points of view. O. Briere in *Fifty Years of Chinese Philosophy, 1898-1950* (trans. L. G. Thompson; London: Allen and Unwin, 1956) shows the increasing dominance of Marxism in modern Chinese thought. W. T. Chan's *Religious Trends in Modern China* (New York:

Columbia University Press, 1953) is a good survey of twentieth-century Christianity, Confucianism, and Buddhism in China. Attempts to modernize China's language and writing system are explored by John De Francis in *Nationalism and Language Reform in China* (Princeton: Princeton University Press, 1950). Marion J. Levy, Jr., has analyzed the impact of industrialization on the traditional family structure in *The Family Revolution in Modern China* (Cambridge, Mass.: Harvard University Press, 1949).

The Communist Phase, 1949—

The preconquest history of the Chinese Communist Party, which was organized in 1921 and in its early years co-operated with the Kuomintang, has been subjected to searching scholarly scrutiny in recent years. B. F. Schwartz's *Chinese Communism and the Rise of Mao* (Cambridge, Mass.: Harvard University Press, 1951) is a remarkably objective analysis of the party's early failures, when it was dominated by the Comintern. Harold R. Isaacs' *The Tragedy of the Chinese Revolution* (rev. ed.; Stanford: Stanford University Press, 1951) is a sympathetic study of the party's near-disastrous co-operation with the Kuomintang from 1925 to 1927. Edgar Snow's *Red Star over China* (New York: Random House, 1938), a first-hand and generally sympathetic report on the party's leadership and condition at its lowest ebb, remains a classic reference. Probably the best and most up-to-date over-all history of the Chinese Communist movement is *Moscow and Chinese Communists* by Robert C. North (Stanford: Stanford University Press, 1953).

Good documentary materials on Communist history in China are also becoming available in translation. The most general collection of documentary sources is in *A Documentary History of Chinese Communism* by Conrad Brandt, B. F. Schwartz, and J. K. Fairbank (Cambridge, Mass.: Harvard University Press, 1952). More specialized collections include *Documents on Communism, Nationalism, and Soviet Advisers in China, 1918-1927* by C. Martin Wilbur and Julie L. Y. How (New York: Columbia University Press, 1956) and *Mao's China: Party Reform Documents, 1942-44* by Boyd Compton (Seattle: University of Washington Press, 1952). Another important documentary contribution is the publication

of *Selected Works* by the party leader Mao Tse-tung (4 vols. of a projected 5; New York: International Publishers, 1954-56).

The political organization and policies of the Communist regime since its establishment in 1949 are described in S. B. Thomas' *Government and Administration in Communist China* (2d ed.; New York: Institute of Pacific Relations, 1955) and in *Far Eastern Governments and Politics: China and Japan* by P. M. A. Linebarger, Djang Chu, and Ardath Burks (2d ed.; Princeton: Van Nostrand, 1956). The regime's economic problems and policies are dispassionately surveyed in *The Prospects for Communist China* by W. W. Rostow in collaboration with others (Cambridge, Mass.: Technology Press, 1954). Harriet C. Mills has described the regime's determination to improve literacy by reforming language education and developing an alphabetic script, in "Language Reform in China: Some Recent Developments" (*Far Eastern Quarterly*, XV [1955-56], 517-540).

More or less scholarly reports on developments in Communist China are, of course, being published at an increasing rate. But the only scholar who has so far attempted to write a general history of the regime since 1949 is Richard L. Walker, whose *China Under Communism, the First Five Years* (New Haven: Yale University Press, 1955), analytical in approach and somewhat journalistic in style, is enlivened by a polemical condemnatory tone.